

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to: Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450, on the below date:

Date: June 9, 2004 Name: Tadashi Horie Reg. No. 40,437 Signature: *Tadashi Horie*

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GILSON
& LIONE JPW 30

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Appln. of: Shuji SASAKI
Yuuji YOSHIDA
Yukikazu KURODA

Appln. No.: 10/037,293

Filed: December 21, 2001

For: SETTLEMENT PROCESSING METHOD AND
SETTLEMENT PROCESSING SYSTEM

Attorney Docket No: 9683/98

Examiner: To Be Assigned

Art Unit: 2152

Mail Stop Amendment
Commissioner for Patents
P. O. Box 1450
Alexandria, VA 22313-1450

TRANSMITTAL

Sir:

Attached is/are:

- ☒ Third Supplemental Information Disclosure Statement (in dup.), Copy of Japanese Office Action, Form PTO-1449, 3 Cited References
- ☒ Return Receipt Postcard

Fee calculation:

- ☒ No additional fee is required.
- ☐ Small Entity.
- ☐ An extension fee in an amount of \$_____ for a _____-month extension of time under 37 C.F.R. § 1.136(a).
- ☐ A petition or processing fee in an amount of \$_____ under 37 C.F.R. § 1.17(_____).
- ☐ An additional filing fee has been calculated as shown below:

				Small Entity			Not a Small Entity	
	Claims Remaining After Amendment		Highest No. Previously Paid For	Present Extra	Rate	Add'l Fee	or Rate	Add'l Fee
Total		Minus			x \$9=		x \$18=	
Indep.		Minus			x 43=		x \$86=	
First Presentation of Multiple Dep. Claim					+\$145=		+\$290=	
Total					\$		Total	\$

Fee payment:

- ☐ A check in the amount of \$_____ to cover the above-identified fee(s) is enclosed.
- ☐ Please charge Deposit Account No. 23-1925 in the amount of \$_____. A copy of this Transmittal is enclosed for this purpose.
- ☐ Payment by credit card in the amount of \$_____ (Form PTO-2038 is attached).
- ☒ The Director is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this paper (including any extension fee required to ensure that this paper is timely filed), or to credit any overpayment, to Deposit Account No. 23-1925.

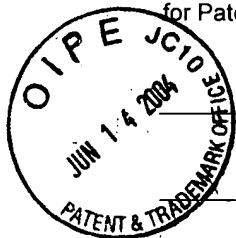
Respectfully submitted,

June 9, 2004
Date

Tadashi Horie
Tadashi Horie (Reg. No. 40,437)

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope, with sufficient postage, addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on



June 9, 2004

Date of Deposit

Tadashi Horie Reg. No. 40,437

Name of Applicant, Assignee or
Registered Representative

Signature

June 9, 2004

Date of Signature

Case No.: **9683/98**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Shuji SASAKI
Yuuji YOSHIDA
Yukikazu KURODA

Examiner: To Be Assigned

Group Art Unit No.: 2152

Serial No.: 10/037,293

Filing Date: December 21, 2001

For: SETTLEMENT PROCESSING
METHOD AND SETTLEMENT
PROCESSING SYSTEM

THIRD SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Mail Stop: Amendment
Commissioner for Patents
Alexandria, VA 22313-1450

Dear Sir:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56, it is respectfully requested that this Third Supplemental Information Disclosure Statement be entered

and the documents listed on the attached Form PTO-1449 be considered by the Examiner and made of record. Copies of the listed documents required by 37 C.F.R. § 1.98(a)(2) are enclosed for the convenience of the Examiner.

Prior art references D1 thru D3 were cited in an Office Action issued in a counterpart Japanese application. A copy of the Japanese Office Action is attached to this Statement. Prior art reference D3 is in Japanese. Please note, however, that prior art reference D2 is a counterpart U.S. patent of prior art reference D3. Therefore, no English summary or abstract of reference D3 is enclosed with this Statement.

In accordance with 37 C.F.R. § 1.97(g),(h), this Third Supplemental Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed to be an admission that the information cited is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b).

This Third Supplemental Information Disclosure Statement is being filed prior to the receipt of the first Official Action reflecting an examination on the merits and hence is believed to be timely filed in accordance with 37 C.F.R. § 1.97(b). No fees are believed to be due in connection with filing of this Third Supplemental Information Disclosure Statement, however, should any fees under 37 C.F.R. §§ 1.16 to 1.21 be deemed necessary for any reason relating to these material, the Commissioner is hereby authorized to deduct said fees from Brinks Hofer Gilson & Lione Deposit Account No. 23-1925. A duplicate copy of this document is enclosed.

Applicant(s) respectfully request that the listed documents be made of record in the present case.

Respectfully submitted,

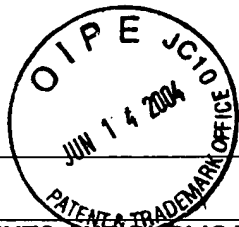
A handwritten signature in cursive script, appearing to read "Tadashi Horie", is written over a horizontal line.

Tadashi Horie

Registration No. 40,437

Attorney for Applicant(s)

BRINKS HOFER GILSON & LIONE
P.O. Box 10395
Chicago, IL 60610
(312) 321-4200



FORM PTO-1449	SERIAL NO. 10/037,293	CASE NO. 9683/98
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S THIRD SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT (use several sheets if necessary)	FILING DATE December 21, 2001	GROUP ART UNIT 2152
APPLICANT(S): Shuji SASAKI et al.		

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
	D1	5,280,625	01/18/1994	Howarter et al.		
	D2	5,334,824	08/02/1994	Martinez		
	D					
	D					
	D					
	D					
	D					

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	COUNTRY	CLASS/ SUBCLASS	TRANSLATION YES OR NO
	D3	JP H7-93411	04/07/1995	Japan		Yes
	D					
	D					
	D					
	D					

OTHER ART - NON PATENT LITERATURE DOCUMENTS

(Include name of author, title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.)

EXAMINER INITIAL		
	D	
	D	
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	D	

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.